



PATENT
ATTORNEY DOCKET NO.: 041465-5211



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents
MAIL STOP PATENT APPLICATION

**TRANSMITTAL FOR A NEWLY EXECUTED ORIGINAL APPLICATION
UNDER 37 C.F.R. §1.53(b)**

This is a request for filing a patent application under 37 C.F.R. §1.53(b) for:

Inventor(s): Ikuya KIKUCHI and Sakashi OHTAKI

For: **OPTICAL PICKUP, AND METHOD AND APPARATUS FOR CORRECTING
ABERRATION OF OPTICAL BEAM**

1. This is a new ☒ **Utility** ☐ **Design** ☐ **Plant** patent application.

2. The papers enclosed to obtain a filing date are as follows:

18 Pages of Specification including:

0 Title Page

14 Pages of Description

3 Pages of Claims

1 Page of Abstract

9 Sheets of drawings containing 15 Figures

☐ The enclosed drawings are photographs, and there is also attached a
PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)

3. Combined Declaration and Power of Attorney

☒ Enclosed and is executed by all inventors
☐ Not Enclosed.

This application is being filed under the provisions of 37 C.F.R. §1.53(f).
Applicant(s) await notification from the Patent and Trademark Office of
the time set for filing the Declaration and paying the filing fees.

4. Language

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English

Non-English

This application is being filed in accordance with 37 C.F.R. §1.52(d) and §608.01 of the MPEP. Applicant(s) await notification from the Patent and Trademark Office of the time set for filing the verified English translation and the processing fee.

5. Assignment

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An assignment of the invention to **PIONEER CORPORATION** and a PTO Form-1595, Recordation Form Cover Sheet, are enclosed.

An assignment will be filed at a later date.

6. Priority - foreign applications under 35 U.S.C. §119(a)-(d) or §365(b) or PCT international applications under 35 U.S.C. §365(a) designating at least one country other than the U.S.

☒ Priority of the following foreign application is claimed:

Country	Application No.	Filed
Japan	2002-317987	October 31, 2002

Certified copy: ☒ is attached. ☐ will follow.

7. Priority based on provisional application(s) - 35 U.S.C. §119(e)

☐ Priority of the following provisional application(s) is claimed:

Application No.	Filed

A. Relate Back - 35 U.S.C. §119(e)

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Attached is a Preliminary Amendment amending the specification by inserting before the first line the sentence: "This application claims priority of copending provisional application(s) No. _____ filed on _____."

8. Small entity status

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Applicant(s) hereby assert(s) small entity status under 37 C.F.R. § 1.27.

9. Fee Calculation (37 C.F.R. §1.16)

	Number Filed	Number Extra	at Rate of	Basic Fee Utility \$770.00 Design \$385.00
			BASIC FEE	770.00
Total Claims (37 C.F.R. §1.16(c))	12 - 20 =	0	18.00	0.00
Independent Claims (37 C.F.R. §1.16(b))	3 - 3 =	0	86.00	0.00
Multiple dependent claim(s), if any (37 C.F.R. §1.16(d))			290.00	0.00
			SUB-TOTAL =	770.00
			Reduction by 1/2 for filing by a small entity	
			SUB-TOTAL =	770.00
Assignment Recordation Fee			\$40.00	40.00
			TOTAL FILING FEE =	\$810.00

10. Fee Payment

☐ Not Enclosed. **NO FEE IS BEING PAID BY CHECK OR DEPOSIT ACCOUNT AT THIS TIME.**

This application is being filed under the provisions of 37 C.F.R. §1.53(f). Applicant(s) await notification from the Patent and Trademark Office of the time set for filing the Declaration and paying the filing fees.

☒ Please charge Deposit Account No. 50-0310 in the amount of **\$810.00** representing the basic filing fee of \$770.00 and an assignment recording fee of \$40.00.

11. ☒ **Except** for issue fees payable under 37 C.F.R. §1.18, the Commissioner is hereby authorized by this paper to charge any additional fees during the entire pendency of this application including fees due under 37 C.F.R. §§1.16 and 1.17 which may be required, including any required extension of time fees, or credit any overpayment to Deposit Account No. 50-0310. This paragraph is intended to be a **CONSTRUCTIVE PETITION FOR EXTENSION OF TIME** in accordance with 37 C.F.R. §1.136(a)(3).

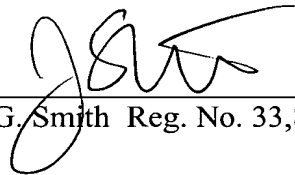
12. Additional papers enclosed:

- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement
- ☐ Form PTO-1449, _____ document included
- ☐ Declaration of Biological Deposit
- ☐ Submission of "Sequence Listing", computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.

Please accord this application an application number and filing date.

Respectfully submitted,

MORGAN, LEWIS & BOCKIUS LLP



John G. Smith Reg. No. 33,818

Dated: October 30, 2003

Customer No. 09629

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